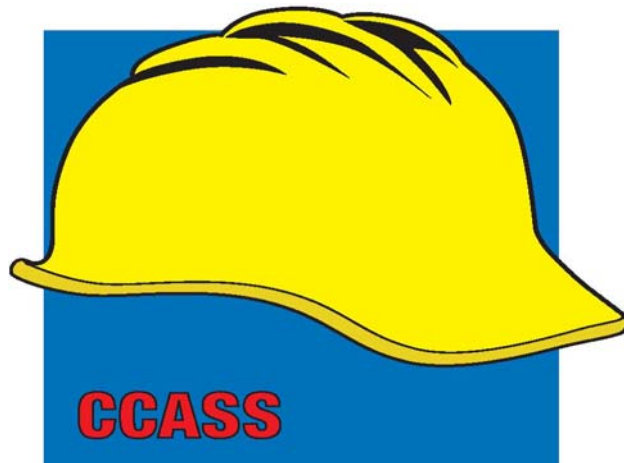




CONSTRUCTION CONTRACTOR APPRAISAL SUPPORT SYSTEM (CCASS) POLICY



Jan 2007

<http://cpars.navy.mil>

CONSTRUCTION CONTRACTOR APPRAISAL SUPPORT SYSTEM (CCASS) POLICY

Introduction

The Federal Acquisition Regulation (FAR) requires that Past Performance Information (PPI) be collected (FAR Part 36) and used in source selection evaluations (FAR Part 15). The (FAR Subpart 36.2) and Defense Federal Acquisition Regulation Supplement (DFARS Subpart 236.201) mandate the use of Construction Contractor Appraisal Support System (CCASS) by all Department of Defense (DoD) agencies. Other Federal agencies may utilize the system on a voluntary basis. The CCASS process establishes procedures for the collection and use of PPI for the construction contracts listed in FAR 36 (construction business sector is \geq \$550,000; or more than \$10,000, if the contract was terminated for default). CCASS-generated PPI is one of the tools used to communicate contractor strengths and weaknesses to source selection officials and Contracting Officers. Communication between the Government and contractor during the performance period is encouraged. Completing past performance evaluations in CCASS is a method of recording contractor performance. Use of the automated CCASS application is aimed at reducing reliance on paper, improving the business process, and being more efficient. Past performance information collected in CCASS is passed to the Federal Past Performance Information Retrieval System (PPIRS) where PPI can be retrieved by all Federal agencies.

CCASS has been identified as part of the DoD paperless acquisition initiative. A DoD-wide CCASS Automated Information System (AIS) has been established for automated processing of performance evaluations using a web-based application. The use of the CCASS AIS is mandatory for those construction actions meeting the thresholds found in FAR 36 (construction business sector is \geq \$550,000; or more than \$10,000, if the contract was terminated for default) as it ensures that performance evaluations will be entered into the Federal PPIRS database to provide a centralized data repository of past performance information to be used for source selection purposes. The CCASS application is located at: <http://cpars.navy.mil>. The application has been developed to support the detailed processing procedures in [Attachment 3](#) with tables to look up for North American Industrial Classification System (NAICS) codes and e-mail notification of performance evaluations in process to required action points.

All CCASS information is treated as “For Official Use Only/Source Selection Information in accordance with FAR 2.101 and 3.104” and the *DoD Guide to Collection and Use of Past Performance Information*. CCASS is source selection sensitive information because it is used to support ongoing source selections. CCASS evaluations have the unique characteristic of being pre-decisional in nature. Distribution of CCASS evaluations among activities, for source selection purposes, will be made solely through use of the Federal PPIRS system at: <http://www.ppirs.gov/>. Access to the CCASS system will be restricted to those individuals with an official need to know.

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CONSTRUCTION CONTRACTOR APPRAISAL SUPPORT SYSTEM (CCASS) POLICY

Section A – Policy

This document sets policy, assigns responsibilities and provides procedures for systematically assessing contractor performance as required by FAR Part 36.

CCASS is an automated database of performance evaluations on construction contractors. CCASS provides past performance information for Federal Government source selection officials and Contracting Officers to aid them in their process of evaluating construction contractors' past performance. Construction contracts include the following types of work: construction, alteration, or repair (including dredging, excavating, and painting) of buildings, structures, or other real property. The terms "buildings, structures, or other real property" includes but are not limited to improvements of all types, such as bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, cemeteries, pumping stations, railways, airport facilities, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, canals, and channels. Construction does not include the manufacture, production, furnishing, construction, alteration, repair, processing, or assembling of vessels, aircrafts, or other kinds of personal property.

1. Purpose

The primary purpose of the CCASS is to ensure that data on contractor performance is current and available for use in source selections through the PPIRS. Performance evaluations will be used as a resource in awarding contracts and orders to contractors who have a history of completing quality and on-time construction contracts/projects that conform to contractual requirements. CCASS performance evaluations communicate contractor strengths and weaknesses to source selection officials. Acquisition officials may also use summary information derived from CCASS performance evaluations for other management purposes consistent with DoD guidance and policy. Individual performance evaluations will not be used for any purposes other than as stated in this paragraph.

The CCASS performance evaluation assesses a contractor's performance and provides a record, both positive and negative, on a given contract/project. Each evaluation must be based on an objective assessment of the criteria as supported by actual data on project performance and contract management. Subjective evaluations concerning the cause or ramifications of the contractor's performance may be provided, however, speculation or conjecture must not be included. [Attachment 2](#) to this document contains the specific areas to be evaluated for construction contracts. A best practice is to include and discuss performance expectations in the Government and contractor pre-construction meeting.

The value of CCASS performance evaluations is directly linked to the care the Assessing Official takes in preparing a quality narrative in the remarks section. The narratives are critical and necessary to establish that the ratings are credible and justifiable. These narratives need not be lengthy. Performance successes or problems should be documented. Include a description of the problems or successes experienced; an assessment of whether the problems were caused by the contractor, the Government or other factors; and how well the contractor worked with the Government to resolve the problems.

The CCASS process is designed with a series of checks and balances to facilitate the objective and consistent evaluation of contractor performance. Both Government and contractor performance perspectives are captured on the construction performance evaluation and together make a complete record.

1.1 Principles

Accurate and timely performance evaluations support the objective of continuously improving the quality of construction services and products.

The performance of construction firms will be evaluated fairly and objectively.

Construction firms shall be kept apprised of the quality of their work throughout contract performance and will have access to completed performance evaluations.

2. Applicability and Scope

PPI must be collected, and a construction performance evaluation (DD Form 2626) completed, on construction contracts meeting the business sector definition thresholds found in FAR Part 36 (construction business sector is \geq \$550,000; or more than \$10,000, if the contract was terminated for default). At the requiring activity's option, or as established by Agency regulations, performance evaluations may be completed for contracts less than the threshold established in FAR Part 36. The contract thresholds for construction performance evaluation collection apply to the "aggregate" value of the contract; that is, if a contract's original face value were less than the applicable threshold but subsequently the contract was modified and the "new" value is greater than the threshold, then an evaluation is required, starting with the first anniversary that the contract's face value exceeded the threshold. If the total contract value including unexercised options and orders (for indefinite delivery indefinite quantity (IDIQ) contracts, total estimated value of unexercised options and orders) is expected to exceed the dollar threshold, initiate the PPI collection process at the start of the contract.

3. Timeliness

All new contracts meeting the \$550,000 threshold shall be registered in the automated CCASS within 30 days of contract/task order award. Registering the contract will create the record and facilitate subsequent performance evaluation reporting.

The performance evaluation shall be prepared at the time of final acceptance of the work, at the time of contract termination, or at other times, as appropriate, in accordance with agency procedures.

4. Additional Guidance

4.1 Sealed Bid Construction Contracts (Invitation for Bid)

CCASS performance evaluations should be utilized as part of the Contracting Officers determination of responsibility.

Should the Contracting Officer determine that the apparent low bidder has a history of unsatisfactory performance, the Contracting Officer may deny award of the contract to that contractor in accordance with the FAR provisions.

4.2 Negotiated Construction Contracts (Request for Proposal)

CCASS performance evaluations will be utilized as an integral part of the source selection process in accordance with the FAR.

4.3 Design-Build Contracts

Design-Build contracts are construction contracts and, therefore, should utilize CCASS for documenting contractor performance. If required, information about the design work should be documented in Block 20 Remarks.

4.4 IDIQ Contracts

For IDIQ contracts, it is the responsibility of the ordering activity (contract administration office) to complete a performance evaluation for each individual task order which meets the threshold established in the FAR; or, if the IDIQ contract meets the thresholds established in the FAR, but all individual task orders are below the threshold, the ordering activity will, at a minimum, complete a consolidated performance evaluation for the IDIQ contract. When the office issuing the IDIQ contract determines that ordering officials should prepare contractor performance evaluations on a task order (delivery order) basis, preparation of contractor performance evaluations on contract actions below the FAR threshold is at the discretion of each ordering agency's policy. The consolidated report shall be prepared on at least an annual basis.

4.5 Best Practice

It is a best practice to prepare an Interim performance evaluation under the following conditions:

- A cumulative, Interim evaluation will be prepared at the mid-point of the contract/task order when the contract/task order term is 24 months or more.
- An Interim evaluation shall be prepared when a contractor's overall performance (**Block 11**) is "unsatisfactory." An Interim evaluation formally puts a contractor on notice that its performance is unacceptable and to make the information on the contractor's performance available to source selection officials in PPIRS. Any Interim "marginal" or "unsatisfactory" evaluations and a summary of any actions the contractor took to remedy the deficiencies shall be recorded in Block 20, "Remarks" of the Final evaluation.
- An Interim evaluation can be prepared at other times, as appropriate, at the Government's discretion.

4.6 Classified Contracts

Performance evaluations on classified contracts (although not exempt from past performance evaluations) will be processed, distributed and maintained in accordance with agency security requirements. Classified contract information will not be entered into the CCASS AIS. Only in the case of classified information will paper copies be used for evaluations.

4.7 Commercial Use of Evaluations

Contractors are prohibited use of or reference to CCASS data for advertising, promotional material, pre-award surveys, production readiness reviews, or other similar purposes.

Section B – Changes in the Modernized CCASS System

The following areas have been changed in the migration to the modernized CCASS:

5. Assessing/Evaluating Official

The “Evaluator” (block 12 of the DD Form 2626) is referred to as the “Assessing Official” in the modernized CCASS system. The system also allows the assignment of one or more “Assessing Official Representatives.” These individuals include personnel who are knowledgeable of the work being evaluated, and they have the capability to input ratings and remarks into blocks 15 through 20 of the DD Form 2626. However, the Assessing Official is responsible for reviewing the draft evaluation and forwarding it to the contractor for review and comment. Only the Assessing Official’s name and contact information is entered in block 12 of the DD Form 2626.

5.1 Contract Registration

All new Contracts meeting the threshold shall be registered in the automated CCASS within 30 days of contract/task order award. Registering the contract will create the record and facilitate subsequent performance evaluation reporting.

5.2 Contractor Notification of an Unsatisfactory Evaluation

The CCASS system’s automatic notification process, including transmittal letter satisfies the FAR Part 36 requirement for written notification to the contractor of overall unsatisfactory performance.

5.3 Contractor Risks

Assessing Officials must consider contractor risks whenever evaluating contractor performance. This should be addressed in the Remarks block of the DD Form 2626.

5.4 Contractor’s Response

Contractors have the opportunity to review all evaluations and are given 30 days to review and comment. The Government Assessing Official has the option of allowing the Contractor additional time to respond whenever circumstances warrant such an extension.

5.5 Evaluations Maintained in Contracting Files

The CCASS system-generated electronic signature replaces the handwritten signature. Therefore, the CCASS-printed form copy can be saved in the contract file in lieu of the signed DD Form 2626.

5.6 Evaluations Replaced by Subsequent Evaluations

Interim reports are replaced in total by subsequent Interim, Final, or Amended Final Reports. Evaluators should copy-and-paste pertinent, historical performance information from previous Interim reports to the subsequent report to ensure a complete record of the contractor’s performance is available for source selection officials.

5.7 Final Evaluations

A final performance evaluation shall be prepared at the time of final acceptance of the work, at the time of contract termination, or at other times, as appropriate, in accordance with agency procedures.

5.8 NAICS / SIC Codes

The North American Industry Classification Standard (NAICS) code replaces the Standard Industry Classification (SIC) code.

5.9 Remarks

The Assessing Official, Contractor Representative, and Reviewing Official are each allotted 16,000 characters (approximately 3 type-written pages) for their remarks.

5.10 RMS

For USACE, evaluations will be initiated in the Resident Management System (RMS). Evaluations are exported from RMS to CCASS via the RMS/CCASS Interface. The Focal Point must assign system access to the Assessing Official, Defense Contractor Representative, and Reviewing Official. This can occur at any time after contract/task order award. The Assessing Official is then responsible for validating the evaluation in CCASS prior to it being routed to the Defense Contractor Representative for review and comment.

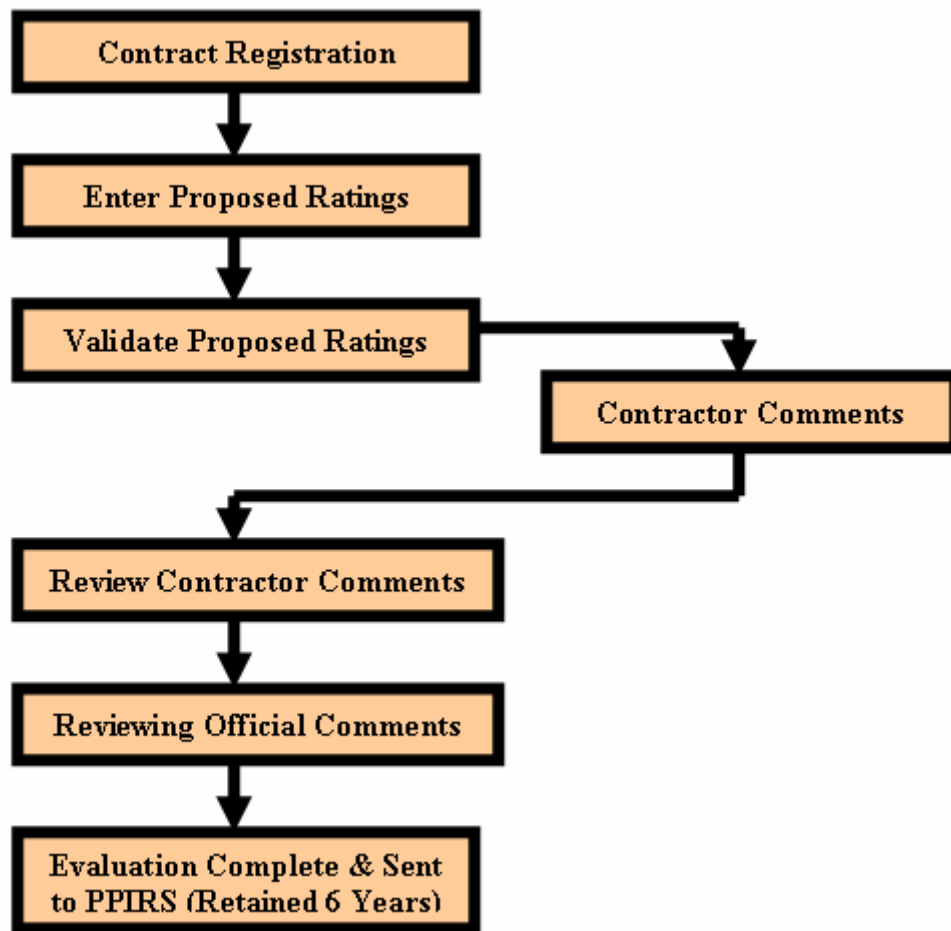
5.11 Routing Evaluations

Evaluations are routed automatically through the CCASS electronic workflow. Whenever forwarding evaluations for action, CCASS will send automatic e-mail notifications to assure the responsible person is aware that action is required on the evaluation. For additional details, refer to the ACASS/CCASS User's Manual, at <http://cpars.navy.mil/cparsfiles/ccass/ccassrefmatl.htm>.

5.12 Sub-Contractor Evaluations

Evaluations should not be prepared for sub-contractors. CCASS is designed to assess prime contractor performance. In those evaluation areas where subcontractor actions have significantly influenced the prime contractor's performance, record the subcontractor actions in Block 20 of the DD Form 2626. Remarks containing the sub-contractor's name and DUNS number are searchable by the Past Performance Information Retrieval System (PPIRS).

Section C – Summary of CCASS Work Flow¹



¹ For more information on the CCASS Work Flow and the correlation between defined access levels and steps in the business process, go to the ACASS/CCASS Users Manual (System Overview) at: <http://cpars.navy.mil/cparsfiles/pdfs/acassccassusermanual.pdf>

Section D – Roles and Responsibilities

DoD Activities are responsible for overseeing the implementation of the CCASS process within their respective organizations. Assessing Officials (AOs), Reviewing Officials (ROs) and Focal Points will normally be designated from within activity that identifies the requirement and is in the best position to evaluate contractor performance. These roles may only be filled by government employees.

6. Requiring Activity

The requiring activity will establish procedures to implement CCASS. These procedures will include training requirements for Focal Points, Contract Data Entry personnel, Assessing Official Representatives (AORs), Assessing Officials (AOs), Contractor Representatives, and Reviewing Officials (ROs). Contracting activities are also responsible to ensure procedures for monitoring the timely completion of reports and report integrity (e.g., quality of reports) are in place. Compliance with submittal requirements by dollar value threshold should be monitored by comparison of contract award history information maintained by other computer systems, with CCASS performance evaluations actually submitted.

- Establish a CCASS Focal Point.
- Establish procedures to ensure registration of all contracts meeting the thresholds in CCASS within 30 days of contract/task order award. Registering the contract will create the record and facilitate subsequent performance evaluation reporting.
- The Requiring Activity is responsible for establishing a process to meet the 120 day requirement.

6.1 Focal Point

The Focal Point obtains access by completing a Focal Point Access Request Form located at the CCASS website, <http://cpars.navy.mil> and is responsible for the collection, distribution, and control of performance evaluations. The Focal Point will assist the Assessing Official and Reviewing Official in implementing CCASS by providing training and other administrative assistance to ensure that evaluations are timely and in compliance with this guidance. This role may only be filled by a government employee. The Focal Point is responsible for:

- Training.
- Ensure registration of all new contracts.
- Assigning access authorization for Government and contractor personnel (complete access authorization based on information from the Contracting Officer, Program/Project Manager, Assessing Official and contractor personnel authorized to appoint a designated representative).
- Control and monitoring of performance evaluations, including the status of overdue evaluations. The CCASS Focal Point at each activity is responsible for monitoring the status of overdue evaluations. Local processes should be established for the Focal Point to notify the Activity Commander if applicable, of evaluations more than 30 days overdue.
- CCASS account management and maintenance (e.g., user access changes).

- Establishing processes to monitor the integrity (e.g., quality) of the report.
- Compliance with submittal requirements by dollar value threshold should be monitored by comparison of contract award history information maintained by other computer systems, with performance evaluations actually submitted.

6.2 Contract Data Entry

The data entry process is typically assigned on a contract-by-contract basis to the Contracting Officer, Contract Specialist, or other individual participants for the portion of the workflow for which they are responsible. The Contract Data Entry access level is not required if contracts are registered by the Focal Point, AOR or AO. This is the only Government role that can be assigned to a non-Government employee (e.g., support contractor). Responsibilities include:

- Register new contracts meeting the thresholds in CCASS within 30 days of contract/task order award. Registering the contract will create the record and facilitate subsequent performance evaluation reporting.

6.3 Assessing Official Representatives (AORs)

AORs may initiate the evaluation process and typically are assigned from the technical, functional, quality assurance, specialty, project management or contracting offices. CCASS allows multiple AORs to be assigned per contract. Each assigned AOR has the capability of inputting and reviewing performance information. The AOR access level is an optional level as factual input could be provided to the project team or AO directly. This role may only be filled by a government employee. AORs are generally responsible for:

- If not assigned to one of the other roles, register new contracts meeting the thresholds in CCASS within 30 days of contract/task order award. Registering the contract will create the record and facilitate subsequent performance evaluation reporting.
- Providing timely, objective and quality evaluation information to the AO.
- Coordination, when multiple AORs are given access to an evaluation, is required to determine which AOR will select “Validate and Send to the Assessing Official” since any AOR who has access to the evaluation has that capability. Once the evaluation is forwarded to the AO, AORs are no longer able to edit the evaluation.
- Assisting the AO or RO, as necessary.

6.4 Assessing Official (AO)

The Assessing Official is responsible for evaluating contractor performance. The Assessing Official has overall responsibility for execution and achievement of project goals and reviewing, signing, and processing the performance evaluation. *UserID/password authorization access in CCASS and its requirement for 128-bit encryption is equivalent to signature by the AO.* AOs are encouraged to foster communication between the Government and contractor about their performance evaluation during the entire contract term and contractor evaluation process. This role may only be filled by a government employee. AO responsibility includes:

- Register new contracts meeting the thresholds in CCASS within 30 days of contract/task order award if the contract has not previously been registered.
- Registering the contract will create the record and facilitate subsequent performance evaluation reporting.
- Ensuring performance input from the project management team (technical, functional, quality assurance, contracting and end users) is included in the evaluation.
- Review of the evaluation information provided by the AORs.
- Input of evaluation information.
- Quality review of the entire evaluation including coordination with the Contracting Officer and Reviewing Official.
- Forwarding the Government evaluation information to the Contractor Representative.
- Review comments from the Contractor Representative once the evaluation has been returned by the contractor.
- Attempt to contact the Contractor Representative by telephone or email if a response has not been received within 30 days and document actions taken.
- Modify the evaluation after review of contractor comments, if necessary. A modified evaluation will not be sent to the contractor for further comment. The contractor will have read-only access to the modified evaluation in CCASS when the evaluation is completed by the Reviewing Official.

6.5 Contractor Representative

The contractor shall designate a representative to whom the evaluation will be sent automatically and electronically. The name and e-mail address of the Contractor Representative shall be provided to the AO who will, in turn, provide that information to the Focal Point for authorization access. It is the contractor's responsibility to inform the Government (AO/Focal Point) of any changes in the contractor's designation of Contractor Representative and other contractor personnel. The contractor representative has the authority to:

- Receive the performance evaluation from the AO.
- Review/comment/return evaluation to AO within 30 days. If the contractor desires a meeting to discuss the performance evaluation, it must be requested, in writing, no later than seven calendar days from the receipt of the performance evaluation. This meeting will be held during the contractor's 30 day review period.

6.6 Reviewing Official (RO)

The RO, normally at an organizational level above that of the Assessing Official, facilitates timely review of performance evaluations and signs the evaluation. The RO provides the check-and-balance needed to ensure report integrity, especially when there is disagreement between the Assessing Official and the contractor. This is usually indicated by the contractor selecting the "I do not concur with this evaluation and request that it be reevaluated" option on the draft evaluation form. The RO is also responsible for making the final decision. This role may only be filled by a government employee. The RO has the authority to:

- Provide narrative comment (the RO's comments supplement those provided by the AO; they do not replace the ratings/narratives provided by the AO).

- Complete the performance evaluation. At that point, the evaluation is closed and no further changes can be made. The completed evaluation is posted to the CCASS AIS and becomes available for source selection official use in PPIRS.

Section E – Types of Evaluations

7. Interim Evaluations

It is a best practice to prepare an Interim performance evaluation under the following conditions:

- A cumulative, Interim evaluation will be prepared at the mid-point of the contract/task order when the contract/task order term is 24 months or more.
- An Interim evaluation shall be prepared when a contractor's overall performance (**Block 11**) is "unsatisfactory." An Interim evaluation formally puts a contractor on notice that its performance is unacceptable and to make the information on the contractor's performance available to source selection officials in PPIRS. Any Interim "marginal" or "unsatisfactory" evaluations and a summary of any actions the contractor took to remedy the deficiencies shall be recorded in Block 20, "Remarks" of the Final evaluation.
- An Interim evaluation can be prepared at other times, as appropriate, at the Government's discretion.

7.1 Final Evaluations

A Final performance evaluation shall be completed upon contract completion or termination. The final performance evaluation replaces Interim evaluations and should summarize significant information for the life of the contract.

7.2 Amended Final Evaluations

Amended Final performance evaluations may be prepared after the Final performance evaluation to record the contractor's performance relative to contract close-out, warranty performance and other administrative requirements. The Amended Final performance evaluation replaces the Final evaluation and should summarize significant information from the Final evaluation(s). Amended Finals are prepared and completed in the same manner as Interims and Final evaluations, including coordination with the contractor.

Section F – Administrative Information

8. External Government Protection

All CCASS information is treated as “For Official Use Only/Source Selection Information in accordance with FAR 2.101 and 3.104” and the *DoD Guide to Collection and Use of Past Performance Information*.

9. Freedom of Information Act (FOIA)

When a Freedom of Information Act (FOIA) request is received for CCASS performance evaluations the recipient will refer the request to the cognizant FOIA office. Past performance evaluation information is privileged source selection information and is not releasable under the Freedom of Information Act. Past performance evaluations may be withheld from public disclosure under Exemption 5 of the Freedom of Information Act.

Attachments

1. [Evaluation Ratings Definitions](#)
2. [Guidance for Documenting Contractor Performance Evaluations](#)
3. [Form and Instructions for Completing a Construction DD Form 2626](#)
4. [List of Acronyms](#)

Evaluation Ratings Definitions



Performance ratings are described by one of the following five adjectives: Outstanding, Above Average, Satisfactory, Marginal, and Unsatisfactory. These terms are subjective and are not derived through use of any mathematical computations or formulas.

Outstanding – Performance meets contractual requirements and exceeds many to the Government’s benefit. The contractual performance of the element or sub-element being assessed was accomplished with few minor problems for which corrective actions taken by the contractor were highly effective.

- ***Note:** To justify an Outstanding rating, you should include a narrative in Block 20 that identifies multiple SIGNIFICANT events that illustrate the rating(s) selected in blocks 15 through 19 and state how it was a benefit to the GOVERNMENT. A singular benefit could be of such magnitude, however, that it alone constitutes an Outstanding rating. Also, there should have been no SIGNIFICANT weaknesses identified. A description of the significant events should be included in Block 20, Remarks.*

Above Average – Performance meets contractual requirements and exceeds some to the Government’s benefit. The contractual performance of the element or sub-element being assessed was accomplished with some minor problems for which corrective actions taken by the contractor were effective.

- ***Note:** To justify an Above Average rating, you should include a narrative in Block 20 that identifies a significant event that illustrates the rating(s) selected in blocks 15 through 19 and state how it was a benefit to the GOVERNMENT. Also there should have been no SIGNIFICANT weaknesses identified. A description of the significant events should be included in Block 20, Remarks.*

Satisfactory – Performance meets contractual requirements. The contractual performance of the element or sub-element contains some minor problems for which corrective actions taken by the contractor appear or were satisfactory.

- ***Note:** To justify a Satisfactory rating, there should have been only minor problems, or major problems the contractor recovered from without impact to the contract. Also there should have been no SIGNIFICANT weaknesses identified. Per DoD policy, a fundamental principle of assigning ratings is that contractors will not be assessed a rating lower than Satisfactory solely for not performing beyond the requirements of the contract.*

Marginal – Performance does not meet some contractual requirements. The contractual performance of the element or sub-element being assessed reflects a serious problem for which the contractor has not yet identified corrective actions. The contractor’s proposed actions appear only marginally effective or were not fully implemented.

- ***Note:** To justify Marginal performance, you should include a narrative in Block 20 that identifies a SIGNIFICANT event that illustrates the rating(s) selected in blocks 15 through 19 that the contractor had trouble overcoming and state how it impacted the GOVERNMENT. A Marginal rating should be supported by referencing the management tool that notified the contractor of the contractual deficiency (e.g. Management, Quality, Safety, or Environmental Deficiency Report or letter).*

Unsatisfactory – Performance does not meet significant contractual requirements and recovery is not likely in a timely manner. The contractual performance of the element or sub-element contains a serious problem(s) for which the contractor’s corrective actions appear or were ineffective.

- ***Note:** To justify an Unsatisfactory rating, you should include a narrative in Block 20 that identifies multiple SIGNIFICANT events that illustrate the rating(s) selected in blocks 15 through 19 that the contractor had trouble overcoming and state how it impacted the GOVERNMENT. However, a singular problem could be of such serious magnitude that it alone constitutes an Unsatisfactory rating. An Unsatisfactory rating should be supported by referencing the management tools used to notify the contractor of the contractual deficiencies (e.g. Management, Quality, Safety, or Environmental Deficiency Reports, or letters).*

Guidance for Documenting Contractor Performance Evaluations

There are several reasons why it is extremely important to document the performance of a construction contractor. The performance documentation can be used to establish in writing your case for possible future termination; to document possible justifications for debarment; and also as a tool to motivate improved performance on existing contracts. Performance evaluations are also used during future source selections to award contracts on a best value basis.

However, the question that continues to be asked is, “what constitutes adequate documentation for performance appraisal?” It is suggested that you ask yourself the following questions as a starting point when you evaluate a contractor’s performance with respect to each rated element.

a. Quality of Work (Contractor Quality Control): Quality of Work reflects the contractor’s management of the quality control program, as well as the quality of the work itself. Questions which should be addressed are as follows: Has a quality product been provided? If not, specifically describe the deficiency in quality and the shortcomings in the contractor’s quality control system responsible for it, for example:

- Inadequate control
- Failure to perform accessory testing
- Failure to implement 3-phase inspection process
- Inadequate or incomplete COC documentation
- Failure to identify, and correct deficient work
- Inadequate reviews of materials and shop drawings
- Incorporation of unspecified materials

To support the assigned rating, Block 20; Remarks of the DD Form 2626 should contain sufficient comments, based on supporting documentation and include success and failures as well as specific corrective actions, as appropriate.

b. Timely Performance: Is the contractor completing the construction activities in a timely manner? This includes administrative activities, as well as physical construction activities such as submittal of a management response to Request for Proposal (RFPs), etc. Did the contractor adequately schedule the work? Has the contractor met administrative milestone dates? Has the contractor met physical milestone dates specified by contract or agreed to in the project schedule? If the schedule has slipped through the contractor’s fault or negligence, has he taken appropriate corrective action of his own volition? Has the contract furnished updated project schedules on a timely basis?

c. Effectiveness of Management: Are the contractor’s on-site and home office management personnel exhibiting the capacity to adequately plan, schedule, resource, organize and otherwise manage the work? If not, describe and relate to other rated elements. Is the contractor making a good faith effort to comply with its subcontracting plan?

d. Compliance with Safety Standards: Has the contractor implemented an effective safety program; one which minimizes/mitigates potential accidents? Has the contractor taken necessary corrective actions when safety deficiencies are noted or are violations only corrected after significant Government intervention?

e. Compliance with Labor Standards: Has the contractor complied with all required labor standards and provisions? Have necessary corrective actions been made without significant Government intervention? Are payroll records being submitted in a complete and timely manner? Is the contractor complying with affirmative action and EEO compliance requirements?

FOR OFFICIAL USE ONLY (WHEN COMPLETED)

PERFORMANCE EVALUATION (CONSTRUCTION)				1. CONTRACT NUMBER	
				2. CEC NUMBER	
IMPORTANT: Be sure to complete Part III - Evaluation of Performance Elements on reverse.					
PART I - GENERAL CONTRACT DATA					
3. TYPE OF EVALUATION (<i>X one</i>) <input type="checkbox"/> INTERIM (<i>List percentage</i> %) <input type="checkbox"/> FINAL <input type="checkbox"/> AMENDED				4. TERMINATED FOR DEFAULT <input type="checkbox"/>	
5. CONTRACTOR (<i>Name, Address, and ZIP Code</i>)				6.a. PROCUREMENT METHOD (<i>X one</i>) <input type="checkbox"/> SEALED BID <input type="checkbox"/> NEGOTIATED b. TYPE OF CONTRACT (<i>X one</i>) <input type="checkbox"/> FIRM FIXED PRICE <input type="checkbox"/> COST REIMBURSEMENT <input type="checkbox"/> OTHER (<i>Specify</i>)	
7. DESCRIPTION AND LOCATION OF WORK					
8. TYPE AND PERCENT OF SUBCONTRACTING					
9. FISCAL DATA ▶		a. AMOUNT OF BASIC CONTRACT \$	b. TOTAL AMOUNT OF MODIFICATIONS \$	c. LIQUIDATED DAMAGES ASSESSED \$	d. NET AMOUNT PAID CONTRACTOR \$
10. SIGNIFICANT DATES ▶		a. DATE OF AWARD	b. ORIGINAL CONTRACT COMPLETION DATE	c. REVISED CONTRACT COMPLETION DATE	d. DATE WORK ACCEPTED
PART II - PERFORMANCE EVALUATION OF CONTRACTOR					
11. OVERALL RATING (<i>X appropriate block</i>) <input type="checkbox"/> OUTSTANDING <input type="checkbox"/> ABOVE AVERAGE <input type="checkbox"/> SATISFACTORY <input type="checkbox"/> MARGINAL <input type="checkbox"/> UNSATISFACTORY (<i>Explain in Item 20 on reverse</i>)					
12. EVALUATED BY a. ORGANIZATION (<i>Name and Address (Include ZIP Code)</i>)				b. TELEPHONE NUMBER (<i>Include Area Code</i>)	
c. NAME AND TITLE			d. SIGNATURE		e. DATE
13. EVALUATION REVIEWED BY a. ORGANIZATION (<i>Name and Address (Include ZIP Code)</i>)				b. TELEPHONE NUMBER (<i>Include Area Code</i>)	
c. NAME AND TITLE			d. SIGNATURE		e. DATE
14. AGENCY USE (<i>Distribution, etc.</i>)					

DD FORM 2626, JUN 94 (EG)

EXCEPTION TO SF 1420 APPROVED BY GSA/IRMS 6-94

FOR OFFICIAL USE ONLY (WHEN COMPLETED)

PART III - EVALUATION OF PERFORMANCE ELEMENTS

N/A = NOT APPLICABLE O = OUTSTANDING A = ABOVE AVERAGE S = SATISFACTORY M = MARGINAL U = UNSATISFACTORY

15. QUALITY CONTROL							16. EFFECTIVENESS OF MANAGEMENT						
N/A	O	A	S	M	U	N/A	O	A	S	M	U		
a. QUALITY OF WORKMANSHIP						a. COOPERATION AND RESPONSIVENESS							
b. ADEQUACY OF THE CQC PLAN						b. MANAGEMENT OF RESOURCES/ PERSONNEL							
c. IMPLEMENTATION OF THE CQC PLAN						c. COORDINATION AND CONTROL OF SUBCONTRACTOR(S)							
d. QUALITY OF QC DOCUMENTATION						d. ADEQUACY OF SITE CLEAN-UP							
e. STORAGE OF MATERIALS						e. EFFECTIVENESS OF JOB-SITE SUPERVISION							
f. ADEQUACY OF MATERIALS						f. COMPLIANCE WITH LAWS AND REGULATIONS							
g. ADEQUACY OF SUBMITTALS						g. PROFESSIONAL CONDUCT							
h. ADEQUACY OF QC TESTING						h. REVIEW/RESOLUTION OF SUBCONTRACTOR'S ISSUES							
i. ADEQUACY OF AS-BUILTS						i. IMPLEMENTATION OF SUBCONTRACTING PLAN							
j. USE OF SPECIFIED MATERIALS													
k. IDENTIFICATION/CORRECTION OF DEFICIENT WORK IN A TIMELY MANNER													
17. TIMELY PERFORMANCE						18. COMPLIANCE WITH LABOR STANDARDS							
a. ADEQUACY OF INITIAL PROGRESS SCHEDULE						a. CORRECTION OF NOTED DEFICIENCIES							
b. ADHERENCE TO APPROVED SCHEDULE						b. PAYROLLS PROPERLY COMPLETED AND SUBMITTED							
c. RESOLUTION OF DELAYS						c. COMPLIANCE WITH LABOR LAWS AND REGULATIONS WITH SPECIFIC ATTENTION TO THE DAVIS-BACON ACT AND EEO REQUIREMENTS							
d. SUBMISSION OF REQUIRED DOCUMENTATION													
e. COMPLETION OF PUNCHLIST ITEMS						19. COMPLIANCE WITH SAFETY STANDARDS							
f. SUBMISSION OF UPDATED AND REVISED PROGRESS SCHEDULES						a. ADEQUACY OF SAFETY PLAN							
g. WARRANTY RESPONSE						b. IMPLEMENTATION OF SAFETY PLAN							
						c. CORRECTION OF NOTED DEFICIENCIES							

20. REMARKS *(Explanation of unsatisfactory evaluation is required. Other comments are optional. Provide facts concerning specific events or actions to justify the evaluation. These data must be in sufficient detail to assist contracting officers in determining the contractor's responsibility. Continue on separate sheet(s), if needed.)*

Instructions for Completing a DD Form 2626 (Construction)

The Construction Evaluation form is designed to evaluate prime contractor performance. However, for those performance elements where a subcontractor performs a significant amount of work or their actions have significantly influenced the prime contractor's performance in a negative or positive way, record the subcontractor's DUNS, name, address, and the specific actions taken in Block 20, Remarks. For evaluations on Design-Build contracts, the remarks should include the same subcontractor information (DUNS, etc.) and an evaluation of the design work that was completed to support the construction effort. The procedures described below are not applicable to those Agencies that use the Resident Management System (RMS), i.e., the U.S. Army Corps of Engineers (USACE). Evaluations should be initiated and completed in RMS per agency instructions and sent to CCASS via the RMS/CCASS Interface.

A3.1 Block 1a – Contract Number. Enter the contract number (*no dashes or spaces*) as identified on the contract being evaluated. MANDATORY

A3.2 Block 1b – Task Order. If the evaluation is for a specific order number. If the evaluation is not an Indefinite Delivery Indefinite Quantity (IDIQ) contract or if the evaluation is to be completed at the contract level, then this field should be left blank.

A3.3 Block 2a – DUNS. Enter the prime Construction contractor's DUNS or DUNS+4 number. MANDATORY The Data Universal Number (DUNS) is a unique nine-character company identification number issued by Dun & Bradstreet. To verify or locate a DUNS number for the firm in the Central Contractor Registration (CCR), visit: <http://www.bpn.gov/CCRINQ/scripts/search.asp>.

A3.4 Block 2b – NAICS. North American Industry Classification System (NAICS) Code. If more than one code applies to the contracting action, enter the one that best identifies that portion of the project representing the largest dollar value. To verify or locate a NAICS number, use the "Lookup" button. MANDATORY

A3.5 Block 3 – Type of Evaluation. Indicate whether the evaluation is an Interim, Final, or Amended Final report. MANDATORY

- **Interim** - A best practice is to complete an interim evaluation on individual contracts or task orders at mid-point of the contract/task order when the contract/task order term is 24 months or more. An interim evaluation will be prepared when a firm's overall performance (Block 11) is "unsatisfactory." Any interim "unsatisfactory" evaluations and a summary of any actions the firm took to remedy the deficiencies shall be recorded in Block 20, "Remarks" of the final evaluation. An interim evaluation can be prepared at other times, as appropriate, at the Government's discretion. Percentage is MANDATORY if this is an interim evaluation.
- **Final** - A final performance evaluation will be completed upon contract completion or termination. The final performance evaluation replaces interim evaluations and should summarize significant information from the interim evaluations(s).
- **Amended Final** - Amended Final performance evaluations may be prepared after the final performance evaluation to record the contractor's performance relative to contract close-out,

warranty performance and other administrative requirements. The amended final performance evaluation replaces the final evaluation and should summarize significant information from the final evaluation(s). Amended finals are prepared and completed in the same manner as interims and final evaluations, including coordination with the Contractor. Indicate Amended Final when there is a change to a completed final evaluation that changes the overall rating level or one or more of the performance elements in Blocks 15-19.

***Note:** Interim evaluations are replaced by subsequent Interim or Final evaluations for the same contract/order number. Final evaluations are replaced by subsequent Amended Final evaluations for the same contract/order number.*

A3.6 Block 4 – Terminated Type. Indicate reason for termination.

- **Default** - Default occurs when the contractor fails to perform their contractual obligations and fails to cure the default.
- **Convenience** - Convenience is when the Contracting Officer decides that termination is in the best interest of the Government. In instances of termination for convenience the contractor performed to the contractual requirements or the contractor's non-performance/failure to perform was excusable.
- Select None if not applicable.

***Note:** If a contract is terminated for convenience or default, a brief explanation of the circumstances should be provided in Remarks, Block 20.*

A3.7 Block 5 – Name/Address of Contractor. Indicate name and address of the prime construction contractor or Joint Venture being evaluated. MANDATORY

***Note:** State and Zip are only required if the country is U.S.A. When the prime construction contractor is located outside the U.S.A., enter the Province in the State field, if applicable.*

A3.8 Block 6a – Procurement Method. Indicate the method of procurement MANDATORY

- **Sealed Bid** - Contracts awarded based on price and price-related factors.
- **Negotiated** - Contracts awarded based on Requests for Proposal.
- **Negotiated (Design-Build)** - Combines design and construction in one construction contract; awarded based on Requests for Proposal.

A3.9 Block 6b – Type of Contract. Indicate the type of contract. MANDATORY

- **Firm-Fixed Price** - A firm-fixed-price contract establishes a price that is not subject to any adjustment on the basis of the contractor's cost experience in performing the contract.
- **Cost-Reimbursement** - Cost-reimbursement contracts provide for payment of allowable incurred costs, to the extent prescribed in the contract. These contracts establish an estimate of total cost for the purpose of obligating funds and establishing a ceiling that the contractor may not exceed (except at its own risk) without the approval of the Contracting Officer.
- **Other** (specify) - There are a variety of other contract types. If other type of contract is used it is MANDATORY to state the other type in the field provided.

A3.10 Block 7 – Description and Location of Work. Provide a complete description of work, including geographical location. MANDATORY

A3.11 Block 8 – Type and Percent of Subcontracting. Provide a brief description of type (mechanical; electrical, etc.) and the percentage of subcontracting. Include the amount of subcontract costs of the total contract effort.

A3.12 Block 9 – Fiscal Data. ENTER WHOLE DOLLAR AMOUNTS ONLY; DO NOT USE COMMAS, DECIMALS OR DOLLAR SIGNS.

- a. Amount of Basic Contract** - Indicate the basic amount the Government and contractor agreed to accept. For task orders, which will be evaluated on an individual basis, enter the awarded amount of the individual order. MANDATORY
- b. Total Amount of Modifications** - Enter the TOTAL dollar amount of all modifications which change the original contract value.
- c. Liquidated Damages Assessed** - Provide if a stipulated sum that constituted compensation for late completion or abandonment was assessed by the Government.
- d. Net Amount Paid Contractor** - Self-explanatory. Combine all aspects of payments incurred on current project at the time of evaluation. MANDATORY for final evaluations

A3.13 Block 10 – Significant Dates. (All dates must be in *MM/DD/YYYY* format)

- a. Date of Award** - Enter the date the contract or task order was awarded. MANDATORY
- b. Original Contract Completion Date** - Projected date that the completion of work by contractor would be achieved. MANDATORY
- c. Revised Contract Completion Date** - Indicate if the original completion date was revised due to modifications. MANDATORY
- d. Date Work Accepted** - Indicate the date the work was accepted by the Government. MANDATORY for final evaluations.

A3.14 Block 11 – Overall Rating. The construction evaluation form is designed to evaluate prime contractor performance. However, for those performance elements where a subcontractor performs a significant amount of work or their actions have significantly influenced the prime contractor's performance in a negative or positive way, record the subcontractor's DUNS, name, address, and the specific actions taken in Block 20, Remarks. For evaluations on Design-Build contracts, the remarks should include the same subcontractor information (DUNS, etc.) and an evaluation of the design work that was completed to support the construction effort. MANDATORY

A3.15 Block 12 – Evaluated By. The Assessing Official should have personal knowledge of the contractor's performance. The Assessing Official enters their Organization and Office symbol or code, Commercial Telephone Number, FAX Number, Email Address, Name and Title. The Name, Title, Organization and Commercial Telephone Number are MANDATORY. The date is system-generated.

A3.16 Block 13 – Reviewed By. The RO should have knowledge of the contractor's performance and be at a higher organizational level than the Assessing Official. The RO enters their organization and office symbol or code, commercial telephone number, FAX number, Email Address, after the contractor has reviewed, concurred and/or replied with a rebuttal statement of performance review. Name, Title, Organization and Commercial Telephone Number are MANDATORY. The date is system-generated.

A3.17 Block 14 – Agency Use. This block not being used.

A3.18 Block 15a – 19c. Evaluation Areas. Evaluates the prime contractor's performance with respect to each rated element. See [Attachment 2](#), Guidance for Documenting Contractor Performance Evaluations. However, for those performance elements where a subcontractor performs a significant amount of work or their actions have significantly influenced the prime contractor's performance in a negative or positive way, record the subcontractor's DUNS, name, address, and the specific element and actions taken in Block 20, Remarks. It is MANDATORY that the Evaluator/Assessing Official rates at least one item in each of the following blocks:

- Block 15 – Quality Control
- Block 16 – Effectiveness of Management
- Block 17 – Timely Performance
- Block 18 – Compliance with Labor Standards (*optional for overseas contracts/task orders*)
- Block 19 – Compliance with Safety Standards

A3.19 Block 20. Evaluator Remarks. The Assessing Official will enter comments in Block 20, MANDATORY. *Note for Evaluator:* Whenever a subcontractor performs a significant amount of work or their actions have significantly influenced the prime contractor's performance in a negative or positive way, record the subcontractor's DUNS, name, address and the specific element and actions taken in Block 20, Remarks. Provide a narrative with sufficient detail to assist source selection officials in assessing the applicability of the contractor's past performance relative to the acquisition at hand. The Narratives are critical and necessary to establish that the ratings are credible and justifiable. These narratives need not be lengthy. Performance successes or problems should be documented. Include a description of the problems or successes experienced; and assessment of whether the problems were caused by the contractor, the Government or other factors; and how well the contractor worked with the Government to resolve the problems. For Interim evaluations, the remarks should explain why the Interim evaluation was issued and what contractor actions were taken to resolve the unsatisfactory rating or problem. Emphasize key milestone events and major modification(s) to the contract during this period.

Contractor Representative. The Contractor Representative reviewing the evaluation indicates Name, Title, Telephone Number, FAX Number and Email Address prior to returning it to the Assessing Official. Name, Title, and Telephone number are MANDATORY. The Contractor Representative must also make a selection from the drop box indicating whether or not they concur with the Government's evaluation of their performance. If "I do not concur..." is selected, reason(s) for non-concurrence should be provided in the Remarks block. Remarks are MANDATORY regardless of concurrence.

Reviewing Official. The Reviewing Official enters their organization and office symbol or code, commercial telephone number, FAX number and must acknowledge consideration of any significant discrepancies between the Assessing Official's evaluation and the contractor's remarks. MANDATORY

List of Acronyms

- A -

AIS	Automated Information System
AO	Assessing/Evaluating Official
AOR	Assessing Official Representatives

- B -

- C -

CCASS	Construction Contractor Appraisal Support System
CCR	Central Contractor Registration
CPARS	Contractor Performance Assessment Reporting System

- D -

DoD	Department of Defense
DFARS	Defense Federal Acquisition Regulation Supplement
DUNS	Data Universal Numbering System (number)

- E -

EEO	Equal Employment Opportunity
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- F -

FAR	Federal Acquisition Regulation
FOIA	Freedom of Information Act

- G -

- H -

- I -

IDIQ	Indefinite-Delivery Indefinite-Quantity
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- J -

- K -

- L -

- M -

- N -

NAICS	North American Industrial Classification System
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- O -

- P -

PPI	Past Performance Information
PPIRS	Past Performance Information Retrieval System

- Q -

- R -

RFP	Request For Proposal
RMS	Resident Management System
RO	Reviewing Official

- S -

SIC	Standard Industry Classification Code
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- T -

- U -

USACE	United States Army Corps of Engineers
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- V -

- W -

- X -

- Y -

- Z -
